

Chapter 16 - Document Tracking

INTRODUCTION

The purpose for the Document Tracking Subsystem is to provide the ability to approve documents, to track the current status of transmittal and non-transmittal documents, and to track the audit/approval process when appropriate. The Document Tracking Subsystem provides users with the ability to follow a document through the manual and automated processes of R★STARS.

Tracking includes identifying the status of documents as they pass through R★STARS (e.g. received in a particular organization); providing an approval mechanism (e.g. travel vouchers); and identifying the physical location for documents (e.g. in a field office). In addition, the subsystem provides for balancing of documents. Balancing a document ensures that the total amount of transactions entered into R★STARS equal the user entered total amount for a document. Document Tracking also provides for several methods of updating documents both manually and through system-generated codes.

This chapter addresses the “central” or “systemwide” functions of Document Tracking.

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16.1 OVERVIEW AND PROCESSING RULES

Document Tracking provides the ability to approve documents before being finalized by the system and to track the status of a document, including approvals obtained and physical location. Document Tracking is a subsystem of R★STARS

To add flexibility to document tracking many of its processing rules are outlined in profiles. Each profile specific to document tracking functions and coding instructions can be found in Chapter 5 and 6 of the R★STARS Data Entry Guide.

Document tracking is established by the central control agencies. Authorized central users have the ability, through the use of profiles, to determine which document types will be tracked. Some agencies may utilize the inquiry and reporting functions only, while other agencies can choose to record actions on tracked documents internally within their agency in addition to utilizing all benefits of central tracking functions and inquiry capabilities.

Processing Rules

Document types in R★STARS are defined as the first two characters of the document number. For example, budgeting documents may begin with the letters “BA” while “AA” is used for accounts receivable billed documents. For a complete list of Document Types, see R★STARS Report Guide, Appendix C. For each document type used by the system, processing rules must be defined in the 33 Document Control profile. These rules are controlled through the use of the following elements:

- **Tracking Indicator** — identifies whether a document is tracked or not tracked.
- **Balancing Indicator** — controls whether a document must be balanced before it is released.
- **Closing Stage** — indicates the year end closing stage for particular document types.
- **Required Approvals** — identifies the required approval action codes that must be entered before the document is approved.
- **Tolerance Amount and Percentages** — defines a specific amount or percentage a purchase order or payment can exceed the pre-encumbrance or encumbrance document amount (original plus adjustments).

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Each element and its impact in document tracking is discussed in further detail below.

Document Tracking provides the ability to track or not track specific document types. If a document type is not tracked, the Document Tracking rules do not apply to transactions of that type. This tracking decision is made by R★STARS at the time the transaction is entered. If a document type is not tracked at transaction entry, but is later changed to be tracked, the change will only apply to future transactions entered for that document type.

Tracked document types can also be required to be balanced. Balancing requires that the user-entered document amount be equal to the system-computed amount for the document. Balancing is optional for a tracked document and cannot be selected for non-tracked documents. The document amount field on transactions is required for tracked documents; however, it is optional for non-tracked documents. The document amount is an absolute value or “hash” total, consisting of a total for transactions without regard to plus or minus signs.

The Closing Stage is a numeric value ranging from 00-99. It provides the ability to group document types together for systemwide year end closing. The Closing Stage in the 33 Document Control profile defined for a particular document will take effect when it is equal to the Closing Stage in the 97 System Management profile.

A document type can have up to 20 required approvals. All the required approvals must be obtained before the document can be finally approved. Approvals are defined as action codes. Each action code must be defined in the D44 Action Code profile before it can be assigned to a document type. Action codes can be developed to determine the physical location of a document or to provide approvals and/or status codes on a document. Some action codes place a final approval on a document and others only define passage to the next stage in the process. Users can be restricted to specific action codes based on their security. Action codes can be defined as central (e.g., systemwide), agency, or both.

Examples of systemwide action codes include:

- 000 Received in Claims Division for the first time.
- 599 Partial payment of a Document (all the vendors within a document did not have payments issued during a single payment processing cycle).
- 600 Full payment of a document (all vendors within a document had payments issued during a single payment processing cycle).

Action codes may be entered for specific documents by users as part of the approval process or may be system-generated by on-line and batch programs to indicate specific processing steps.

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Transaction Entry/Transmittal and Non-Transmittal (Not used in Michigan)

Documents that are tracked must be unique within the document agency and fiscal year. In addition, a tracked document can only be associated with a single batch ID (batch agency, batch date, batch type, and batch number). A single batch may contain many transactions for a single document. However, the same document number, if tracked, cannot be used in another batch during the year.

Transmittal Documents (Not used in Michigan)

Transmittal Documents are payment documents originating from the Advanced Purchasing and Inventory Control System (ADPICS). The documents are tracked using a system-generated Archive Reference number and the document ID (Agency, Document Number and Fiscal Year). The Archive Reference number is assigned when the documents are transmitted from the transmitting agency to the control agency. The Archive Reference number is used to track the documents through the system to final approval or rejection.

At the transmitting agency, R★STARS assembles only documents that have a “Ready to Transmit” action code in the Document Tracking Table and displays them on the 32 Document Transmittal Maintenance screen. Specific documents may be de-selected and, thus, not included in the transmittal. Once transmitted, a record in the Document Transmission Table is established for each document, and the last action code in the Document Tracking Table is changed to “Transmitted.”

A transmittal cover sheet is automatically generated when a transmittal occurs. The cover sheet displays the Archive Reference numbers associated with the transmittal and document transmittal information. The cover sheet accompanies the supporting documentation to the control agency. After the control agency receives the transmittal and the supporting documentation, the last action code in the Document Tracking Table is changed to “Ready for Pre-audit” on the 40 Approval By Transmittal screen.

Each transmittal document is subject to a Pre-Audit Selection and Sampling Process which flags documents that meet established pre-audit criteria. The pre-audit criteria is established on the D43 Pre-Audit Selection and Sampling Criteria profile. After documents are flagged, the last action code changes to “Pre-audit Complete.”

An auditor from the control agency then reviews the documents and either approves or rejects them. Approving documents removes them from the Document Transmittal Table and changes the last action code in the Document Tracking Table to the action code that gave the document final approval. Rejecting documents also removes them from the Document Transmittal Table and changes the last action code in the Document Tracking Table to “Rejected from Xmitl.” The rejected documents are sent back to the transmitting agency.

Non-Transmittal Documents (Not used in Michigan)

Non-transmittal documents are non-payment documents that are tracked by the system. These documents may have non-transmittal Archive Reference numbers assigned to them. Each non-transmittal Archive Reference number is assigned to one document only on the 38 Multiple Document Tracking screen. This Archive Reference number identifies where the supporting documentation is filed.

Tracked documents require that document amount be entered on the transaction. However, document count is system-generated for both tracked and non-tracked documents. Default action codes are added to tracked documents when they are added, changed or deleted. Also, if the security record for a user contains a action code agency and action code, it will default on the 500 Batch Header Entry screen and be automatically applied to any tracked document entered by that user.

16.2 PROFILE MAINTENANCE AND TABLES

Document Tracking Profiles

Document Tracking as well as much of R★STARS uses profiles to increase the flexibility of the system. The two profiles that are specific to Document Tracking:

- **33 Document Control Profile** — this profile is maintained by document type and contains all the processing rules for Document Tracking. Up to 20 systemwide action codes for each document type can be defined on this profile.
- **D44 Action Code Profile** — this profile establishes the valid actions codes to be used by R★STARS. Central action codes must be numeric and are associated with Agency “000.” Agency-specific action codes must be alphabetic. Action codes must be defined in this profile before they can be used in Document Tracking.

In addition to the Document Tracking profiles, several other R★STARS profiles are critical to Document Tracking. These profiles are:

- **D66 User Class Profile** — the user class profile identifies action code agency and action code ranges available for use by specific users. In order to update Document Tracking with action codes, a user must have a user class that authorizes the use of the action codes they are attempting to enter.
- **96A Security Profile** — the security profile identifies which user class a specific user is assigned and can identify a default action code agency and action code that will be added to every tracked document transaction entered by that user.
- **D51 Error Code Profile** — this profile defines all the error codes used by R★STARS. In addition, this profile can define an action code to be used by the system when a transaction contains errors.
- **D53 Titles Profile** — this profile consists of many profiles that are used by subsystems of R★STARS as well as the core processing of R★STARS. The Document Tracking specific table in the D53 is called Document Tracking Action Code (DTAC). This profile defines the action code associated with each of the following functions:
 - Adding a transaction (ADD)
 - Changing a transaction (CHG)
 - Deleting a transaction (DEL)

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- Flagging a transaction in error (ERR)
- Flagging a document as partially (PARP) or fully (FULP) paid

R★STARS programs access this profile based on the table ID, (DTAC), and record key, identified above in parentheses (e.g., ADD), to determine the correct action code to apply. The action code is found in the first three bytes of the title field.

- **D54 System Parameters Profile** — this profile contains values that drive system processes. The Document Tracking and Transmittal Specific records in the D54 are called Action (ACTN) or Document Type (DTYP). This profile defines action codes for such processes as “Ready-to-transmit” and defines document types for “Transmittal include.” R★STARS programs access this profile based on the table ID (DTYP), Key 1 (Transmittal include), Key 2 is the document type to be included in the process.

All other non-document tracking specific profiles listed above and their coding instructions can be found in the R★STARS Data Entry.

Document Tracking Tables

The document tracking subsystem utilizes several database tables to maintain information used by the R★STARS system for tracked documents. These tables are created and maintained by the system programs. Each table specific to document tracking and a brief description of its key and functional use are listed below.

Document Tracking Table — is used to maintain all action codes associated with a specific document. All action codes added either manually or system generated are stored in this table. The key to this table is:

- Agency
- Document number
- Fiscal year
- Date
- Time: hour
 minute
 second

Each tracking record associated with the document contains the user ID associated with the individual that entered the action code.

Document Transmittal Table (not used in Michigan) — keeps track of each document in a transmittal. The record is created when the documents are transmitted to the control agency and

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updated when changes occur. The records are deleted when a document is either approved or rejected. The key to this table is:

- Archive Reference Number
- Agency
- Document Number
- Fiscal year

Document Header Table — contains all the processing logic for a document. This table is created at the time the document is first entered into the system and updated when changes occur to the document. The Archive Reference number is stored in this record. The key to this table is:

- Document agency
- Document number
- Fiscal year

The alternate key is:

- Batch agency
- Batch date
- Batch type
- Batch number

This table contains the action codes that were required (as identified in the 33 Document Control profile) when the document was added to the system. It indicates whether the document is balanced (all detail transaction amounts equal the entered document amount), and whether the document has been final approved.

Document Position Number Table — keeps track of the batch in which a document is posted as well as the starting sequence number(s) in the batch in which the document resides. If transactions are not contiguous (sequential) within a batch for a particular document, this table will have multiple records. The key to this table is:

- Batch agency
- Batch date
- Batch type
- Batch number
- Document position number

This table is used to more efficiently retrieve detail transaction information on the 39 Approvals By Document screen.

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Vendor Header Table — is used to keep track of changes made to the Disbursement Method indicator on transactions associated with a vendor. This table is similar to the Document Header Table. This table is updated by the 41 Disbursement Maintenance screen. The key to this table is:

- Document agency
- Document number
- Fiscal year
- Vendor number
- Vendor mail code

Vendor Position Table — is similar to the Document Position Table and is used to keep track of where transactions for a given vendor reside in a batch. This key to this table is:

- Batch agency
- Batch date
- Batch type
- Batch number
- Vendor position number

System Management Profile — identifies the current effective date which determines if the transmittal documents are for the current or prior year. Also, the last used non-transmittal and transmittal Archive Reference numbers (current and prior year) are displayed on this screen.

Archive Reference Number Table (not used in Michigan) — keeps track of the last non-transmittal and transmittal Archive Reference number used. If the transmittal documents are for the current year, the next current Archive Reference number is used. If the transmittal documents are for the prior year, the prior archive transmittal number is used.

16.3 FINANCIAL TRANSACTION PROCESSING

R★STARS profile maintenance and document inquiry may be processed in an on-line real-time environment. Transactions may be processed on-line or batch. Transactions entered with document types that are tracked will automatically update the DOCUMENT TRACKING SUBSYSTEM. Documents that contain document types that are tracked must pass a uniqueness edit. This edit requires that documents for a given document agency, document number and fiscal year (defined on next page) be unique within a single batch.

On-Line Capabilities

The on-line processes include the following:

- Maintenance of the profiles used by the DOCUMENT TRACKING SUBSYSTEM, including the approval of documents and their transactions.
- Financial transaction entry through the “500” series of Transaction Entry screens.
- Tracking of additions, changes, and deletions of transactions related to a document.
- Update by entry of document action codes directly through the following screens:
 - 32 Document Transmittal Maintenance
 - 35 Batch Tracking
 - 38 Multiple Document Tracking
 - 39 Approvals by Document
 - 40 Approval by Transmittal
 - 500 Batch Header Entry
 - 101 Deposit Validation Screen

Each of the above screens is described in detail in Section 16-4.

- Tracking transactions containing error correction action codes.
- Entering actions at the batch level that relate to each document through the entry of an action on the 500 Batch Header Entry screen. The actions that are entered on the 500 Batch Header Entry screen are defaulted from the Default Action Code Agency, Action Code from the 96A Security Profile.
- Validation of uniqueness of the document ID (document agency, document number, and fiscal year).

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- Prevention of changes to approved documents unless user has special security that allows this function.

Batch Capabilities

The batch processes include the following:

- Provides a facility for requiring document header information associated with tracked documents on transactions being processed by the batch system.
- Provides a facility for placing on hold or rejecting documents where pre-approval required (e.g., tape furnished vouchers).
- Validates uniqueness of documents identifications.

The Document Tracking Subsystem requires entry of a document agency and, if tracked, a document amount on the Financial Transaction Entry screens. The document agency identifies the agency responsible for processing the document, and may differ from the agency used for financial accounting purposes on the detail transaction and batch agency on the batch header. Document agency will default to the agency on the detail transaction both in batch and on-line.

The document amount is required if the Balancing indicator for the document type is set to “Y” in the 33 Document Control profile. For these documents, the “entered” and “computed” amounts must equal before a document can be released. The 502 Batch Balancing screen indicates whether all the documents in the batch are in balance.

16.4 APPROVAL AND TRACKING

R★STARS provides several methods of updating a document with action codes. Updates can occur on-line through the entry of action codes on R★STARS screens or in the Input Edit Update (IEU) process through system-generated action codes.

R★STARS/ADPICS NOTE: The approval path is based on the ADPICS department entered on the purchase order, direct purchase order, requisition, voucher, direct voucher, and invoice, **NOT** the user's department as displayed in the security profile.

On-Line User Input

Action codes can be applied to documents through entry on one of the following screens:

- **500 Batch Header** — a single action code can be entered on the Batch Header screen or defaulted from the user's security record. This action code will update every tracked document in the batch whether or not the code is a required code defined on the 33 Document Control profile for the document type being updated. The batch header screen and its associated coding instructions can be found in the R★STARS Data Entry Guide, Chapter 3.
- **32 Document Transmittal Maintenance (not used in Michigan)** — provides the ability to select documents for transmission to the control agency. Specific documents may be de-selected by the transmitting agency which removes the document from the transmittal. Each batch of 200 transmittal documents is assigned a system generated Archive Reference number. This Archive Reference number is used to track the documents throughout the transmittal process until they are final approved or rejected.
- **40 Approval By Transmittal (not used in Michigan)** — provides the ability to recall a transmittal using the Archive Reference number and to record various action codes associated with the transmittal. This screen displays, by Archive Reference number, all the documents transmitted to the control agency from the transmitting agency. It allows the user to enter a global action code, which applies to all the documents within the transmittal, unless a specific action code is entered in the select column next to the individual document.
- **39 Approvals By Document** — provides the ability to recall and record various action codes associated with a single document. This screen displays all transactions associated with a single document number. This screen can be used to add or delete an action code to a document.

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- **38 Multiple Document Tracking** — enables a user to update a high volume of non transmittal documents (without regard to batch ID) with an action code on one screen. This screen also allows a user to apply an action code to documents before they are entered in R★STARS. In addition, a system generated non-Archive Reference number is assigned to the document.
- **35 Batch Tracking** — provides for entry of action codes defined in the D44 Action Code profile as batch codes or as both batch and document codes. Action codes entered on this screen are applied to every tracked document in the batch whether or not they require the action code. However, non-tracked documents in the batch will not receive the action code.
- **101 Deposit Validation Screen** — provides the ability to recall an agency's outstanding deposits and record an action code, as defined in the D44 Action Code profile, for the approval or rejection of that agency's deposits. This screen is for central agency use.

System-Generated

R★STARS provides for several system-generated methods of updating documents with action codes.

Error codes in R★STARS may have an associated action code. If a transaction is processed in IEU and contains errors that have defined action codes, and the document is tracked, the system will automatically update the document with the appropriate action code if an action code is defined for the error code in the D51 Error Code profile.

The Payment Processing Subsystem also updates tracked documents with action codes. This subsystem will only update document types that require payments. Action codes will be associated with documents that inform users of the payment status of the document (e.g., partially paid or fully paid).

Transactions which are affected by either add, change, delete or error corrections through the 510 Recall a Batch for Correction screen also cause a system-generated action code to be placed on the document during the IEU process. The appropriate action code is defined in the D53 Titles profile.

16.5 REPORTING AND INQUIRY

The reporting features of R★STARS provide on-line inquiries and user-requestable reports to access document tracking information. These features are described below.

Standard Document Tracking Reports

R★STARS has several reports for monitoring the status of tracked documents. These reports are requested through the standard “report request” process. For more information on requesting reports, refer to the Reporting chapter of the R★STARS Data Entry Guide.

Inquiry Screens

Two inquiry screens are available to identify the various action codes associated with a document. These screens and a brief description of each is shown below.

- **37 Document Tracking Inquiry** — this screen displays information relating to the status and activity associated with each tracked document. It displays the document’s status (approved and balanced), batch ID, required approvals, document amounts (entered and computed), Archive Reference number, the date and time each action code was entered and the user ID of the person entering the action code. It also displays a Note Indicator which identifies whether a note is tied to a document.
- **39 Approvals by Document** — this screen is used to add or delete action codes to a document. Also, it can be used to inquire on the detail transactions associated with a document. Transactions are displayed from the Internal Transaction file. If a document has been written to the History file, it is not displayed on this screen. In essence, the screen shows transactions that are in process (either awaiting approval, production of a warrant, or error correction). This screen does not display action codes. This screen also displays a note indicator which identifies whether a note is tied to a document.
- **70 Document Tracking Inquiry (not used in Michigan)** — provides the Appropriation Control Officer (ACO) the ability to inquire on transmittal documents that are ready for review. The documents are displayed by ACO number and are flagged when the document has met pre-audit criteria.

These screens and their coding instructions can be found in the R★STARS Data Entry Guide, Chapter 17.

Payment Status Reason Codes

The MAIN FACS (R★STARS) 47C screen is used to approve agency requests for payment status code changes. This screen also displays the reason code and description for the requested status code changes. See the screen print below:

```

47C VER 2.0      STATE OF MICHIGAN PRODUCTION REGION (PMAIN)  10/16/97 07:57 AM
LINK TO:          PAYMENT STATUS APPROVAL LISTING                PROD

REQUEST STATUS:   BANK ID:

S APPV BANK PAYMENT REAS      DESCRIPTION      REQUEST      TIME  USER ID CURR
  ID    NO      CD              MAINT DATE

```

F1-HELP F2-PMT INQUIRY F3-FILL IN F4-REPLACE WARR F6-STATUS MAINT
F7-PAY REDEMP F8-NEXT PAGE F9-INT F10-SAVE F11-SAVE/CLEAR ENTER-INQ CLEAR-EXIT